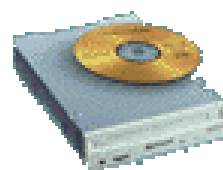
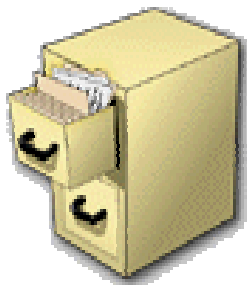
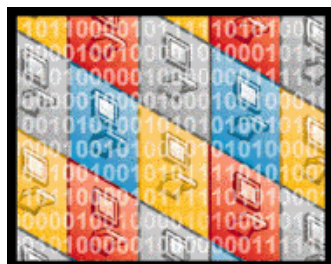




RECORDS MANAGEMENT PROGRAM & THE ALASKA STATE ARCHIVES

2006



RECORDS MANAGEMENT PROGRAM & ALASKA STATE ARCHIVES

TABLE OF CONTENTS

| | | |
|--|-------|-----------|
| RECORDS MANAGEMENT PROGRAM | | 2 |
| Retention Schedules | | 3 |
| Inactive Records Storage | | 5 |
| Disposition of Records | | 12 |
| CENTRAL MICROFILM SERVICES | | 16 |
| STATE ARCHIVES | | 16 |
| APPENDIX | | |
| Archives & Records Contacts | | 19 |

RECORDS MANAGEMENT PROGRAM & ALASKA STATE ARCHIVES

The **Records Management Program** provides technical assistance to State and Local Governments so that they may comply with legal, fiscal and administrative requirements for records retention. The **Alaska State Archives** makes available historically valuable Territorial and State records to the public and state agencies.

RECORDS MANAGEMENT PROGRAM

Records Management provides State agencies and local municipalities with assistance in developing records retention policies, analyzing office records systems, and establishing standards and guidelines for managing information. Services include:

- Records & Information Management Workshops
- Records Analysis
- Inactive Records Storage
- Microfilming
- Essential Records Protection

Retention Schedules

Per AS 40.21 the State of Alaska utilizes two types of records retention schedules: the *General Administrative Records Retention Schedule* (available on homepage) and program (agency specific) schedules. The ***General Schedule*** lists common records series found in most offices (e.g. contracts, reading files, meeting minutes, etc) and recommends minimum retention lengths.

The **program schedule** is a concise, official guide for the management of agency information and provides for the prompt and orderly disposition of records no longer possessing administrative, legal or financial value; and, identifies records that have permanent historical value. It lists those records created/maintained by the agency in the conduct of the substantive functions for which it is responsible. Records Management Services assists agencies in developing their program schedules. All schedules are approved and authorized by the agency head, attorney general, commissioner of the Department of Administration and the state archivist. Approved schedules allow an office to legally dispose of noncurrent State records.

RETENTION SCHEDULES



IDENTIFY all programmatic records series in an office



INCLUDE information stored digitally, on paper and microfilm



ESTABLISH office retention policies



COMPLY with legal retention requirements



DOCUMENT confidentiality restrictions



FULFILL operational retention requirements



AUTHORIZE staff to:



DESTROY records



TRANSFER records to offsite storage

SEND records to the state archives

UTILIZING RETENTION SCHEDULES

- ❖ Become familiar with **records series** and **descriptions**. Know which/when records are eligible for destruction and transfer.
- ❖ Become familiar with the **General Administrative Records Retention Schedule** and agency program schedule.
- ❖ Know the current **audit and litigation situation** in the agency. Do not dispose of records that may be needed for an audit or legal case.
- ❖ Set aside a **specific time each year** to dispose of or transfer records. The most common times are at the end of the fiscal or calendar year.
- ❖ **Hold purging to a minimum.** A document-by-document review of each file is costly and inefficient. If the agency has established a regular procedure for separation of file contents, such as keeping the transitory documents or working papers on one side of the folder, purging before transfer may be more practical.
- ❖ Establish a **cut-off date** for subject files, such as the end of a calendar or fiscal year. While the subjects themselves may be of continuing interest to the agency, the contents of the folders may not. Reference to materials that are over five years old is rare. Agencies should periodically begin a new set of subject folders so that the older folders may be destroyed or transferred to offsite storage.

INACTIVE RECORDS STORAGE

Storage space for inactive records is provided through contracted records center facilities in Anchorage and in Juneau. Agencies using contract facilities are billed for each box in storage as well as for each file or box retrieved. Click the link on the Records Management webpage or the Division of General Services *Contract Award Manual* to view the contracts. **Both contract records centers in Anchorage & Juneau** provide the following services:

- Standard one cubic foot records storage boxes
- Barcoded box labels
- Pickup/delivery of files and boxes
- Retrieval/refiling of individual files or of entire boxes
- Computerized inventory/index of client holdings
- Certified destruction of records
- Transfers boxes to the Alaska State Archives

TRANSFERRING RECORDS TO STORAGE

Order Standard Size Storage Carton (10" x 12" x 15")

- Plan two storage cartons per file drawer
- Purchase from either Anchorage or Juneau Contractor

Remove Inactive (Paper) Files from Cabinets to Storage Carton

- Maintain files in same drawer order (alpha, numeric, etc)
- Remove all "Pendaflex" or hanging files
- Place 3-ring binders flat in box **or** remove materials and place in manila folders
- Leave at least 1" of space in the box
- Leave additional space in box if missing files will be added later
- Place an "**OUT**" card where the missing file belongs

THE TRANSFER PROCESS

1. **Verify Disposition Date** is the same for all files in a Storage Box
 - [Refer to General and/or Agency Program Records Retention Schedule]
2. **Prepare** a Box Contents List [if necessary, not required by Records Management]
 - Level of detail will vary according to access needs; information may be included on the transfer list
3. **Obtain** a Barcode Number for Each Box
 - Contact the contractor for barcodes, if necessary
 - Place a barcode on each carton [there should be no other writing on the box]
4. **Prepare** the *Records Transfer List (RTL)* as a *PDF, MS Word* or *Excel* document
 - Identify box contents. (Refer to *Sample*)
 - Enter the corresponding barcode for the box
 - Determine the disposition date according to the retention schedule
5. **Email** Completed *RTL* to Departmental/Divisional Records Officer who forwards to Records Analyst. He/She will review/approve *RTL* and email approval to agency and contractor.
6. **Schedule** Box Transfer after approval
 - Contact the contractor for box pickup **or**
 - Arrange with Department mailroom staff or other personnel to deliver boxes to contractor

STATE OF ALASKA
DEPARTMENT OF EDUCATION
ARCHIVES & RECORDS MGT
141 WILLOUGHBY
JUNEAU, AK 99801-1720
907/465-2276 Voice
907/465-2465 Fax



| | |
|---|------------|
| FOR RECORDS CENTER USE ONLY | |
| Apprvd Records Mgmt. D. Dawson, CRM 01/01/2006 | |
| RECORDS MGMNT TRACKING # | |
| Accession No. | Cubic Feet |
| 2006001 | 21 |

RECORDS TRANSFER LIST

| | | | | | | |
|---|--|--------------|--|---|--|---------------------------------|
| 1. Department HEALTH & SOCIAL SERVICES | | Dept. #06 | 2. Division PUBLIC ASSISTANCE | | 3. Section or Unit GAMBELL ST DPA ANCHORAGE DISTRICT OFFICE | |
| 4. Street Address or Building Name, Room Number 400 GAMBELL ST, SUITE 101 | | | Mailing Address 400 GAMBELL ST, SUITE 101 | | City ANCHORAGE | State AK |
| 5. Signature of Records Officer SHIRLEY B /S/ 1/1/065 RECORDS OFFICER SIGNS HERE | | | 6. E-Mail Address for Department Records Officer Shirley_B@health.state.ak.us | | Zip 99501 | |
| 7. Custodian of Records (Typed Name and Title) BRUCE F, ADMINISTRATIVE CLERK II PERSON THAT CAN ANSWER QUESTIONS RE. TRANSFER | | | 8. E-Mail Address for Custodian | | 9. Phone #: Fax #: | |
| 10. Access to Records is Restricted to (Position Title) <input checked="" type="checkbox"/> Restricted to Personnel in the above named Division (Additional access is by written authorization of the Division Director or Designee) | | | 11. Agency ID No: 197 LISTED ON YOUR SCHEDULE | | 12a. Date: 1-1-06 12b. Page 1 of 2 | |
| 13. Record Series Title (Use Series Title as Found on Retention Schedule) (Attach Detailed Listings if Required) | | | 14. Inclusive Dates | 15. Retention Schedule & Item No. | 16. Dispo Date | 17. Agency Box / reel No. |
| ELIGIBILITY CASE FILES: | | | | | | |
| Blow, Joe thru Doe, Betty 99-P-45 THRU 99-P-55 | | | 7/04 – 6/05- | 66300/2 | 7/10 | 1 |
| 99-P-56 THRU 99-P-65 | | | | | | 2 |
| BOX OR MICROFILM REEL CONTENT DESCRIPTION | | | | | | 3 |
| PROCUREMENT FILES: A thru F [WHEN USING THE GENERAL SCHEDULE] | | | 7/04 – 6/05 | 100.2/50 | 7/08 | 4 |
| G thru Z | | | | | | 5 |
| | | | | | | 6 |
| <u>CALL THE CONTRACTOR IN ANCH OR JUNEAU</u> TO GET THE BARCODES/NUMBERS FOR YOUR BOXES. | | | | | | 7 |
| THESE NUMBERS MUST BE REFERNCED IN SECTION 18. | | | | | | 8 |
| | | | | | | 9 |

STORING OFFSITE SECURITY MASTER MICROFILM AT STORAGE CONTRACTOR



Label each reel/fiche



Prepare a reel/fiche contents list detailed enough to locate a file at a later date.
--Retain this list in office with copy of *Records Transfer List (RTL)* for reference--



Prepare the *RTL*

- Identify each reel/fiche packet and place in cubic foot box, filling at least ½ the box
- Determine the disposition date under the retention schedule
- Contact contractor for barcode



Email completed *RTL* to Records Officer for review, approval and forward to Records Management



After *RTL* is approved

- Arrange with Contractor for pick up

OR

- Deliver/ship boxes to Contractor

ACCESS TO STORED RECORDS



Send authorization letter to contractor, if not on file already. (Refer to **Sample**, Page 10).



Prepare *Records Reference Request* (Refer to **Sample**, Page 11); or email/fax the following data to contractor:

- Specify if request is for file or box
- Provide the file name
- Provide barcode number on box
- Indicate if file/carton is to be:
 - 😊 Delivered
 - 😊 Mailed (Certified, DHL, other)
 - 😊 Held for Pickup
 - 😊 Held for Review at the contractor



Fax/Email Request to Contractor



Juneau



AAA Archives 907/780-3672; **benc@aaa-moving.com**



Anchorage



Alaska Archives 907/563-7014; **bprim@acsalaska.net**

SAMPLE AUTHORIZATION LETTER

(Send on Letterhead)

Date

Records Center Manager

Contractor Name

Address

Juneau or Anchorage, AK 99xxx

RE: RECORDS ACCESS AUTHORIZATION

Dear Manager:

The following is a list of personnel authorized to request records for the Division of X:

[List each person that is allowed to contact the records center to make requests or to review agency records. Any person not listed will be denied access.]

Sincerely,

Name

Commissioner/Director/Chief

(Must be signed by agency head or delegated representative)

RECORDS REFERENCE REQUEST

| | | | |
|---|------------------|------|-----------------------------------|
| REQUESTED BY | TELEPHONE | DATE | ACCT. NO. |
| DEPARTMENT | DIVISION/SECTION | | |
| PICKUP /DELIVERY ADDRESS | | | |
| SERVICE REQUESTED <div> <input type="radio"/> File Withdrawal <input type="radio"/> Deliver to Office </div> <div> <input type="radio"/> Box Withdrawal <input type="radio"/> Mail/to Address Indicated </div> <div> <input type="radio"/> Review at contractor <input type="radio"/> Pickup Return Boxes or Files </div> <div> <input type="radio"/> Other </div> | | | |
| ITEMS REQUESTED | | | BARCODE LOCATION # |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| | | | |
| Signature _____ | | | |

DISPOSITION OF RECORDS

Disposition of records occurs when a) the **operational** needs, b) **legal** requirements, and c) **fiscal/audit** requirements have all been met. The records retention schedule establishes the guidelines for retention (in the office and/or the records center); and, final disposition action of all records created or maintained by an agency.

When the retention time has been met, records may be either destroyed or transferred to the state archives for possible permanent preservation. At the time of transfer to the state archives, legal custody of the records passes from the creating agency to the state archives. The archivist will review the records to determine whether they have permanent archival value. In some cases, professionally accepted sampling methods may be utilized to retain a portion of the records.

DISPOSITION OF RECORDS STORED WITH A CONTRACTOR

- **Records Management** prepares *Records Disposition Notice*
 - **Records Management** sends *Disposition* to:
 - Records Officer
 - **Records Officer** notifies affected agencies
 - **Director, Administrative/Program Manager, Agency Chief**
 - Signs *Notice*
 - Faxes or mails signed *Notice* to Contractor & Records Management
- OR**
- Calls Records Management for any corrective action

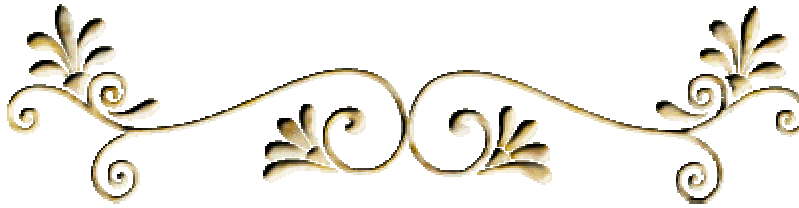
DESTRUCTION OF RECORDS IN AGENCY OFFICE

➤ Authorized Destruction of Office Records

- Agency verifies destruction due under records retention schedule
- Agency *Program Schedule* or the *General Administrative Records Retention Schedule* authorizes the agency to destroy records at the end of the retention period. No further authorization is required.

Agency carries out authorized destruction. Refer to next page if contractor destruction services are required.





IF RECORDS ARE NOT IDENTIFIED ON A RETENTION SCHEDULE

- **Agency** prepares/signs a *Records Disposition Authorization*
- **Agency** emails form to Records Officer for signature
- **Records Officer** emails form to Records Management
- **Records Management:**
 - Reviews the *Disposition*
 - Assigns a *Disposition* number
 - Obtains signatures from the AG, Commissioner of Administration & archivist
 - Emails or faxes approved copy to agency and contractor

Agency proceeds with disposal of records

UTILIZING THE STORAGE CONTRACTOR FOR DESTRUCTION SERVICES

When records stored in the office have met retention requirements under a retention schedule and agency wishes to utilize the **Contractor's services for Confidential Destruction**, then

- **Agency:**
 - ▶ Prepares a *Records Disposition Authorization*
 - ▶ Obtains signature of Director, Admin. Manager, or Chief, and, Records Officer; then,
 - ▶ Sends form to Records Management, which reviews, signs and faxes/emails to Contractor and Agency. (No other signatures are required)



Contractor may not destroy any record without PRIOR
AUTHORIZATION from Records Management



| | | | | | |
|---|---|--|---|--|--|
| STATE OF ALASKA DEPARTMENT OF EDUCATION & EARLY DEVELOPMENT ARCHIVES & RECORDS MGMT SERVICES 141 WILLOUGHBY AVENUE JUNEAU, ALASKA 99801 907/465-2276 | | <h1>SAMPLE</h1> | | ARCHIVES & RECORDS USE ONLY | |
| RECORDS DISPOSITION AUTHORIZATION | | | | | Disposition Authorization Number (Assigned by Records Management) |
| 1. Department EDUCATION & EARLY DEV. | | Dept No 05 | 2. Division LIBRARIES & ARCHIVES | | 3. Section or Unit RECORDS MANAGEMENT |
| 4. Location of Records (Street Address, Bldg Name, Room No.) 141 Willoughby | | Person to Contact D. Dawson, CRM | | Phone 465-2276 | Fax 465-2465 |
| 5. The records described below are authorized for disposition by destruction and/or transfer to the State Archives per AS 40.21.030(b)(5) or (10). These records: <input checked="" type="checkbox"/> Have complied with approved Records Retention Schedule No: <u>54801</u> (Agency Program or General Schedule) <input type="checkbox"/> Have no further administrative, legal, fiscal, or audit values for this agency. (Check this box for unscheduled records only.) <input type="checkbox"/> Have been microfilmed and the film has been verified. | | | | | |
| 6. Confidentiality restrictions require special handling for the destruction of these records. <input checked="" type="checkbox"/> NO <input type="checkbox"/> YES Cite law or regulation which places confidentiality restriction on these records: | | | | | |
| 7. Access to these records if transferred to the State Archives is: <input checked="" type="checkbox"/> Unrestricted (Open to the public) <input type="checkbox"/> Restricted, cite law or regulation: | | | | | |
| 8. Retention Schedule Item No. | 9. Record Series Title <small>(Include beginning and ending dates. Use the same record series title as on the Records Retention Schedule. Describe completely any unscheduled record.)</small> | | | 10. Transfer List No. | 11. Box Number(s) |
| 13 | INVENTORY CONTROL REPORTS 7/1/04 – 6/30/05 (Agency wishes to utilize contractor for destruction services) | | | n/a | #1 #2 |
| | | | | 12. Number of Containers: 2 Total | |
| APPROVALS | | | | | |
| NOTE: Records of permanent value, as determined by Retention Schedule and/or the State Archivist, will be accessioned into the State Archives. | | | Attorney General (if unscheduled records) n/a | | Date |
| Division Director | | Date | Commissioner of Administration (if unscheduled records) n/a | | Date |
| Departmental Records Officer n/a | | Date | State Archivist | | Date |

CENTRAL MICROFILM SERVICES

The micrographic lab provides services to state agencies on a charge-back basis. Staff are available to assist agencies in designing efficient and cost effective micrographic applications. Services include: filming of source documents from check size to full size engineering drawings, film processing, duplication of 16mm and 35mm roll microfilm, microfiche duplication, quality control inspection, micrographic equipment repair and technical and operational assistance.

Client agencies are responsible for the arrangement and integrity of the documents prior to microfilming, page by page verification of the final product and transfer of the master microfilm to the records center for security storage. They are also encouraged to prepare documents (sanitize) for microfilming—pulling staples, mending torn or damaged documents and removing redundant copies. Central Microfilm will provide document preparation at the usual hourly rate if requested by the client agency. Typing of microfiche jacket headers and microfilm labels may be done by the requesting agency or by Central Microfilm.

ALASKA STATE ARCHIVES

The Alaska State Archives maintains historical records originally created or maintained by an Alaska territorial or state agency. Records eligible for permanent preservation in the archives are documented on the retention schedule; the schedule also identifies those records created or administered by the agency that have potential historical value. When records are transferred to the state archives, the creating agency not only transfers physical custody, but also transfers legal ownership to the archives.

Walk-in patrons utilize detailed finding aids to locate records series that are applicable to their research questions; staff assists in the process and pull appropriate boxes. Archival records cannot be removed from the archives, even by the originating agency. This policy protects the records from loss and physical damage, and helps ensure their credibility as evidence.

TRANSFERRING HISTORICAL RECORDS FROM AGENCY DIRECTLY TO THE ALASKA STATE ARCHIVES

Agency

- Prepares a *Transmittal/Receipt* form (Refer to Sample, Page 18)
- Obtains authorizing signature, and
- Submits form to archivist @ Ken_Nail@eed.state.ak.us

Historical Records Transfer

Agencies transferring historical records from their offices directly to the state archives use the *Transmittal/Receipt* form (refer to Sample, 18.) This form identifies the records in detail and documents the transfer of legal custody to the archives. The form also serves as a data point for the archives processing and reference staff. Any restrictions on use or access (statutory/regulatory) must be indicated on the *Transmittal/Receipt* form.

Reference Service

Both state agency personnel and the general public use the holdings of the state archives. The archives maintains state government records by agency of origin, not by subject or topic. Patrons complete a *Researcher Registration* form and sign the daily register on their first visit; on subsequent visits, patrons need only to sign the daily register. The archives reference staff assist patrons in determining the nature of their research and suggest appropriate record groups and series for review. Call the reference desk @ 465-2270 for information or send an email to archives@eed.state.ak.us.

The state archives provides a photocopier and microfilm/fiche reader printers; microfilm/fiche duplication is available through the Central Microfilm Lab. Fees related to document copies, including certification, fall under 4 AAC 59.065.



STATE OF ALASKA
Archives and Records
Management Services
141 Willoughby
Juneau, AK 99801-1720
(907) 465-2270

TRANSMITTAL/RECEIPT

TRANSFER OF PUBLIC RECORDS TO THE ALASKA STATE ARCHIVES

Accession No:

Date Received/By:

RG No.

Series No.

| | | | |
|---------------------------------|---------------|--------------|------------|
| Dept. No. | 2. Department | 3. Division | 4. Section |
| 5. Physical Location of Records | | Contact Name | Phone No |

7. DESCRIPTION OF RECORDS

| | |
|---|---|
| 7A. Series Title | 7B. Inclusive Dates |
| 7C. Retention Schedule & Item No. | 7D. File index, code or manual available? <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7E. General Series Description (Include information regarding content, order, etc.) | |

| | | |
|--|--|--|
| 8. Total Number of Containers Transferred to Archives: | | |
| Format of Records: (Check each type that applies) | | |
| a. <input type="checkbox"/> Paper documents | d. <input type="checkbox"/> Photographs, slides, negatives | g. <input type="checkbox"/> Audio tapes/cassettes |
| b. <input type="checkbox"/> Maps, blueprints, engineering drawings | e. <input type="checkbox"/> Microforms | h. <input type="checkbox"/> Computer disks/magnetic tape |
| c. <input type="checkbox"/> Bound volumes | f. <input type="checkbox"/> Videotapes/motion pictures | i. <input type="checkbox"/> Other _____ |

| | |
|----------------------------------|-------------------------|
| (Archives Use Only, Box Numbers) | Transfer List Number(s) |
| | Total Cubic Feet _____ |

| |
|---|
| Physical Condition of Records (Note damage or unusual wear) |
|---|

| |
|--|
| 10. Restrictions on Use <input type="checkbox"/> None <input type="checkbox"/> Yes. Cite applicable statute or regulations: |
|--|

| |
|--|
| 11. The above described public records are transferred to the official custody of the Alaska State Archives in accordance with the conditions shown on the reverse of this Transmittal/Receipt form (AS 40.21.020) |
|--|

| | |
|--|--|
| 11A. Transferring Agency: I authorize the transfer of records herein described. | 11B. Alaska State Archives: I accept custody of records herein described. |
| Signature _____ Date _____ | Signature _____ Date _____ |
| Typed Name & Title | Typed Name and Title Ken Nail Jr., State Archivist |

APPENDIX

STAFF CONTACTS

Records Management Program

**141 Willoughby
Juneau, AK 99801-1720**

Manager: 907/465-2276
Email: Dean_Dawson@eed.state.ak.us
Fax: 907/465-2465
Homepage: <http://www.archives.state.ak.us/>

Central Microfilm Services

**7th Floor, State Office Building
Juneau, AK 99801**

Manager: 907/465-2274
Email: Pat_Obrien@eed.state.ak.us
Homepage: <http://www.archives.state.ak.us/>

Alaska State Archives

**141 Willoughby
Juneau, AK 99801**

Archivist: 907/465-2275
Email: Ken_Nail@eed.state.ak.us
Fax: 907/465-2465
Homepage: <http://www.archives.state.ak.us/>